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PATENT

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Pienkos, John T.
Serial No.: 09/724,744
Filed: November 28, 2000
For: METHOD AND SYSTEM FOR FACILITATING THE TRANSFER OF INTELLECTUAL PROPERTY
Grp. Art Unit: 3625

**SUPPLEMENTAL
INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

The Applicant recently received the enclosed documents and, although the Applicant suspects that the information in the documents are substantially duplicative of information previously submitted to the Patent Office in connection with the present Application, the Applicant in the interests of meeting the duty of disclosure nevertheless is submitting the documents herewith.

In particular, the enclosed documents are being submitted in the above-identified Application in compliance with 37 CFR 1.97 & 1.98:

- ☐ (1) Pursuant to 37 CFR 1.97(b)
(within 3 months of filing or prior to mailing of 1st Office Action)
- ☒ (2) Certification Pursuant to 37 CFR 1.97(c)
(before Final Office Action or Allowance)
- ☐ (3) Fee Payment Pursuant to 37 CFR 1.97(c)
(before Final Office Action or Allowance)
- ☐ (4) Petition, Certification & Petition Fee Payment Pursuant to 37 CFR 1.97(d) (before issue fee payment)
- ☒ (5) A list of documents on Form PTO-1449 together with copies of each identified document and a translation or a concise explanation of each non-English language document is enclosed herewith.

This paper is submitted in accordance with:

- ☐ (6) 37 CFR 1.97(b) (within 3 months of filing or prior to 1st Office Action)

- ☒ (7) 37 CFR 1.97(c) (before Final Office Action or Allowance, whichever is earlier); and
- ☒ (8) The required certification made in item 11 below; or
- ☐ (9) The \$240.00 fee specified in 36 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
- ☐ (10) 37 CFR 1.97(d) (before issue fee payment); and
- ☐ [a] (This is a petition for consideration of the subject Information Disclosure Statement. The petition fee \$180.00 required by 37 CFR 1.17(p) is authorized in item 14 below.
- ☐ [b] The required Certification is stated in item 11 below.
- ☒ (11) Certification
- ☐ (12) Each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or
- ☒ (13) No item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this document after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing of this Statement.
- ☒ (14) No fees are believed to be due with respect to the submission of this Supplemental Information Disclosure Statement.

Respectfully submitted,

By: _____



John T. Pienkos
(414) 228-6881

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PTO/SB/088 (09-06)

Approved for use through 03/31/2007. OMB 0661-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

1

of

1

Application Number

09/724,744

Filing Date

11/28/00

First Named Inventor

JOHN T. PIENKOS

Art Unit

3625

Examiner Name

JAMES ZURITA

Attorney Docket Number

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	—	Letter From Joseph Lee Re Patent Services, Acacia Technologies Group, November 17, 2006, 2 pages.	
	—	web pages of Inflexion Point Strategy, obtained at www.ip-strategy.com/services.html , printed on 12/15/2006, 4 pages.	
	—	web pages of Altitude Capital Partners, obtained at www.altitudecp.com/value.html , printed on 12/15/2006, 5 pages.	
	—	"6E Real Estate Creates Strategic Capital Group", December 17, 2003, concerning 6E Strategic Capital Group, 4 pages.	
	—	"Brief of Altitude Capital Partners, Expense Networks, Inc., Inflexion Point Strategy, LLC, Interdigital Communications Corp., IPotential, LLC, Ocean Tomo, LLC and OnSpec Electronic Inc. as Amici Curiae in support of Respondents"	

Examiner
Signature

Date

Considered

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¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.88. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

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PTO/SEA/DBA (08-03)

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known

Application Number	09/724,744
Filing Date	11/28/00
First Named Inventor	JOHN T. PIENKOS
Art Unit	3625
Examiner Name	JAMES ZURITA
Attorney Docket Number	

Sheet	1	of	1
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U. S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

[illegible]

**Examiner
Signature**

Date
Considered

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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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2/20/08

INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Application Number: <u>02-254,335</u>	
Date Filed: <u>10/2/2002</u>		First Named Inventor: <u>PLENIKER</u>	
Group Art Unit:		Drawing Name:	
Attorney/Agent Number:		Attorney/Agent Name:	

[illegible]

Examiner		Date	
Signature		Continued	

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Customer Name Comments: This form is continued to page 2 of 2 to be completed. Time will vary depending upon the needs of the individual case. Any amounts on this amount of time you are requested to complete this form should be sent to the Chief Information Officer, U. S. Postal and Treasury, OCA, Washington, DC 20231. DO NOT SEND PHOTO OR COMMENTED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Planning, Washington, DC 20231.

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PAGE 50

4/19/01

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Substitute for form 1442B-PTD

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet	1	of	1
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Complete If Known

Application Number	09/724,714
Filing Date	11/28/2000
First Named Inventor	FIENKOS
Group Art Unit	
Examiner Name	
Attorney Docket Number	

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

[illegible]

**Examiner
Signature**

Date Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Initial also cases of this kind with good reason, unrelated to compliance.

¹ Unique citation designation number. ² Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449B/PTO		Complete If Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Application Number	09/224,744
		Filing Date	11/28/2000
		First named inventor	TENKOS
		Group Art Unit	
		Examiner Name	
Sheet 1 of 1	Attorney Docket Number		

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No.†	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T2
	1	Copies of web pages of LPS Group, found at www.informationholdings.com/lps/, dated 7/25/01	
	2	Copies of web pages of Information Holdings Inc., found at www.corporateintelligence.com, dated 7/25/01	
	3	Copy of web page of MicroPatent, found at www.micropat.com/, dated 7/25/01	
	4	Copy of web page of PATEX, found at www.patex.com, dated 7/25/01	
	5	Copy of web pages of Patent Bank, found at www.patentbank.co.kr, dated 7/25/01	
	6	Harvard Business School Case Draft N9-600-150, "The Patent & License Exchange: Enabling a Global IP Marketplace", dated July 1, 2000	
	7	"From Labs to Riches", Peter J. Cronk, The Legal Intelligencer, March 24, 1997	

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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.


† Unique citation designation number. ‡ Apportion is to place a check mark here if English language Translation is attached.

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PTO/SB-08B (09-00)

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U. S. Patent and Trademark Office, U. S. DEPARTMENT OF COMMERCE

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Submission for form 1442PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Complete If Known Application Number <u>02/224,744</u> Filing Date <u>11/28/00</u> First Named Inventor <u>PIENKOS</u> Group Art Unit Examiner Name Attorney Doctort Number	
Sheet	<u>1</u>	of	<u>2</u>

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Doc No.	Include name of the author (in CAPITAL LETTERS), ID of the article (when appropriate), ID of the book (book, magazine, journal, card, symposium, etc.), etc., page(s), volume(s) number(s), publisher, city and/or country where published.	TI
	1	Brunsvold, Brian et al., Drafting Patent License Agreements, 4th ed. (1998), exemplary sections including Table of Contents (pp. v - xi), Chapters 1-3 (pp. 1 - 40), and Chapter 10 (pp. 91-114)	
	2	Copies of web pages of Ernst & Young, found at <u>www.ey.com</u> , dated 9/12/01	
	3	Copies of web pages of Inta Cop, Inc., found at <u>www.intacop.com</u> , dated 9/12/01	
	4	"Getting More Revenue for Your Clients From Their Intellectual Property", presentation by Ted <u>Munch</u> , Alliance Technology Service, Inc., 1998-99, including article "One Man Band", <u>The Business Journal</u> , 5/19/98	
	5	"Companies Cash in on 'Discarded' Patents", Technology Business, November/December 1997 (author Nancy <u>Crane-Robert</u>), reprinted by <u>Alliance Technology Service, Inc.</u>	
	6	"U.S. Companies Ignore More Than \$115 Billion in Technology Assets, Survey Finds", press release by <u>BTG</u> , June 22, 1998, reprinted by <u>Alliance Technology Service, Inc.</u>	
	7	"Japan Wants to 'Wake Up' Unused Patents", found at <u>www.wired.com</u> , dated 9/13/01 (author <u>Gene Koprowski</u> , article date 3/12/97)	

Examiner Signature	Date Considered
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NEW ADDED - Initial if substance considered, whether or not addition to be made. If not, then the substance is not considered. Initials of this form with next communication to applicant.

* Unless election designation number. * Applicant to be plus a check mark here if English language Translation is attached.

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9/13/01 (282)

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U. S. Patent and Trademark Office: U. S. DEPARTMENT OF COMMERCE

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Substitute for form 1442/PTO		Complete If Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Application Number	09/724,744
		Filing Date	11/22/00
		First Named Inventor	PIENKOS
		Group Art Unit	
		Examiner Name	
Sheet 2 of 2	Attorney Docket Number		

Examiner Initials*	Doc No.	OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS <small>Include items of the prior art (in CAPITAL LETTERS), list of the items (when appropriate), list of the items (book, magazine, journal, article, symposium, etc.), date, page(s), volume(s) number(s), publisher, city and/or country where published.</small>	P
	8	Additional copies of web pages of LPS Group, found at <u>www.informationholding.com</u> , dated 9/13/01, "Market Trends"	
	9	Copies of web pages of mycounsel.com, found at <u>www.mycounsel.com</u> , dated 9/13/01, "Requirements and Considerations when Licensing Your Patent"	
	10	Copies of web pages of Woodbridge & Associates, P.C., found at <u>www.njplaw.com</u> , dated 9/13/01, "Basic Terms and Conditions of a Strong Patent License"	
	11	Additional copies of web pages of Patent Cafe Magazine / Patent Cafe, found at <u>www.cafazine.com</u> , dated 9/13/01, "How to Determine Royalty Rates"	
	12	Copies of web pages of FindLaw, found at <u>technet.biz</u> , <u>findlaw.com</u> , dated 9/13/01, Patent License Agreement (Exemplary)	
	13	Copies of web pages of <u>www.lawsmart.com</u> , dated 9/13/01, "Exclusive Patent License Agreement"	

Examiner Signature	Date Considered
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* Unique citation designation number. * Applicant is to place a check mark here if English language translation is attached.

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11/30

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PTO/SEL/055 (08-00)

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Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete If Known	
				Application Number	09/724,744
				Effective Date	11/28/00
				First Named Inventor	PIENKOS
				Group Art Unit	
				Examiner Name	
				Attorney Docket Number	
Sheet	1	of	1		

[illegible]

Examiner Signature		Date Considered	
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7/14/02

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Substitute for form 1449B/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Application Number	09/724,744
		Filing Date	11/28/2000
		First Named Inventor	PIENKOS
		Group Art Unit	
		Examiner Name	
Sheet		of	
		Attorney Docket Number	

OTHER RELEVANT NON-PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No.†	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume/issue number(s), publisher, city and/or country where published.	7‡
	1	Copy of article "Mine Games" by Eric. W. Pfeiffer, dated 6/24/02, obtained at www.forbes.com /asap, printed 6/24/02, 3 pages	
	2	Copy of home page and additional web pages, and including press releases, concerning ipvalue Management Inc., obtained at www.ipvalue.com, printed 6/24/02, 32 pages	
	3	Copy of site listings from Yahoo! Commercial directory concerning patent services, obtained at dir.yahoo.com, printed 6/29/02, 3 pages	
	4	Copy of home page and additional web pages concerning TechSearch LLC, obtained at www.techsearch-llc.com, printed 6/29/02, 12 pages	
	5	"Patent Fight Pending," originally published by SF Weekly on Dec. 6, 2000, by Bernice Young, obtained at www.sfweekly.com, printed on 6/27/02, 1 pages	
	6	"Intel Hit With \$833 Million Patent Lawsuit," by Alexander Wolfe, EE Times, obtained at www.itnews.com.au, printed 6/29/02, 3 pages	
	7	"Would You Buy a Patent License From This Man?" by Ian Mount, obtained at www.business2.com, printed 6/29/02, 4 pages	
Examiner Signature			Date Considered

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Burdan Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U. S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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PTO/BB/08b(05-03)

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Substitute for form 1448B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Complete If Known Application Number 09/724,744 Filing Date 11/28/00 First Named Inventor JOHN T. PIENKOS Art Unit 2100 Examiner Name — Attorney Docket Number —	
Sheet	1	of	1

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cita No.†	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ³
		-pages from website of Miramonte Technologies, obtained at www.miramonte-technologies.com , printed on 11/16/02, 6 pages.	
		-pages from website of divine Company, obtained at www.divine.com (specifically www2.divine.com and zdnet.com.com), printed on 11/16/02, 11 pages.	
		-pages from website of Fairfield Resources International, Inc., obtained at www.frlicense.com , printed on 5/6/03, 13 pages.	
		-pages from website of 2XFR Intellectual Property Licensing and Tech-XFR Marketplace, obtained at www.2xfr.com , printed on 5/29/03, 25 pages.	

Examiner Initials	Date Considered
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1. A. UNDER: Initial if reference considered, whether or not citation is in conformance with MPEP 808. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.
 1. Applicant's unique citation designation number (optional). 2. Applicant is to place a check mark here if English language Translation is attached.
 1. Collection of information is required by 37 CFR 1.88. This information is required to obtain or retain a benefit by the public which is to file (and by the USPTO process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including filing, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual cases. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND PAPER OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

1

of

1

Attorney Docket Number

Complete If Known

Application Number

09/724,744

Filing Date

11/28/00

First Named Inventor

PIENKOS

Art Unit

3625

Examiner Name

NGUYEN, CUONG H.

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.†	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
		Printout of web pages of website of maxiam LLC, obtained at www.maxiam.com, printed on 9/30/03, 15 pages.	
		Letter/Opinion of Department of Justice Antitrust Division concerning MPEG LA, Joel I. Klein, Acting Assistant Attorney General, dated June 26, 1997, 15 page printout obtained at www.usdoj.gov	

Examiner
SignatureDate
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3/6/04

DEC 19 2006

PTO/SB/008 (06-03)

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(b)(1) Route for form 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Complete if Known Application Number <u>09/724,744</u> Filing Date <u>November 28, 2000</u> First Named Inventor <u>Pienkos, John T.</u> Art Unit <u>3625</u> Examiner Name <u>Nguyen, C.</u> Attorney Serial Number <u>—</u>	
Sheet	<u>1</u>	of	<u>1</u>

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		"PLX Announces Plans to Revolutionize \$3.5 Billion Patent Industry Through Global, Internet-Based Patent Auction Market", press release dated January 22, 1999, obtained at < http://www.eurekaent.org/pub-releases/1999-01/F1-PAPT-220199a1p >, printed on 3/6/04, 2 pages.	

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5/3/05

DEC 19 2005

PTO/83/82b (83-03)

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use in every column in parentheses)		Application Number 09/724,744	
		Filing Date 11/28/00	
		First Named Inventor PIENKOS, JOHN T.	
		Art Unit 3625	
		Examiner Name NGUYEN, CYNTHIA H.	
		Attorney/Agent Number —	

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	CNO No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	1*
	1	Documentation of Patent & License Exchange, 1999, 31 pages, including "The Patent & License Exchange FAQ Sheet", "PL-X.COM SUBSCRIBER QUALIFICATIONS", "PL-X.COM SUBSCRIBER FEES AND SELLER'S COMMISSIONS", "PLX SUBSCRIBER APPLICATION FORM", & PLX INFORMATIONAL BROCHURE.	
	2	"HOUSE RULES" OF THE PATENT & LICENSE EXCHANGE, 8/25/00, 4 pages.	
	3	"AUTOMATIC PATENT VALIDITY INSURANCE", North American Specialty Insurance Co., 1998, 3 pages.	
	4	"Are Patents Next for the Online Auction Block?", The Recorder, 5/20/99, 1 page.	
	5	Company Press Release, pl-x.com, 8/23/99, 2 pages.	
	6	"Creating an efficient technology market", Kossowsky et al., Chemtech, Dec. 1998, 3 pages.	
	7	Press Release of Swiss Re & Ernst & Young, 4/22/99 &	
	8	"An Internet 'Exchange' Aims to", 9/2/99, 4 pages.	
		Media, 8/22/99, 2 pages.	

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PTO/SB/08b (07-05)

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Substitute for form 1449B/PTO				Complete If Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>				Application Number	07/724,744
				Filing Date	11/28/00
				First Named Inventor	JOHN T. PIENKOS
				Art Unit	3825
				Examiner Name	JAMES ZURITA
				Attorney Docket Number	—
Sheet	1	of	1		

PTC/38/088 (04-08)

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(Use as many sheets as necessary)		Complete If Known	
Application Number		09/724,711	
Filing Date		11/28/06	
First Named Inventor		JOHN T. PIENKOS	
Art Unit		3625	
Examiner Name		JAMES ZURITA	
Attorney Docket Number		_____	

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Examiner Signature	Date Considered
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